

if-13-01
PATENT & TRADEMARK OFFICE

Atty. Dkt. No U24051-U140

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gary Allan KEMP II et al.

Title: CLICK BASED TRADING WITH
INTUITIVE GRID DISPLAY OF MARKET
DEPTH AND PRICE CONSOLIDATION

Appl. No.: 09/971,087

Filing Date: October 5, 2001

Examiner: Unassigned

Art Unit: Unassigned

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INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.56 and 37 C.F.R. §1.97

Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO-1449 is a listing of documents known to Applicant in order to comply with Applicant's duty of disclosure pursuant to 37 CFR § 1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR §§ 1.97 and 1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such a document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a prima facie prior art reference against the claims of the present application.

TIME OF THE DISCLOSURE

The instant Information Disclosure Statement is believed to be filed prior to the mailing date of a first Office Action on the merits (first scenario). If that is not the case, such as in a second scenario in which a first Office Action on the merits has been mailed before the filing of the instant Information Disclosure Statement, then the PTO is authorized to obtain the necessary fee to have the instant IDS considered, from Foley & Lardner Deposit Account #19-0741.

The listed documents were discovered through a search conducted in preparation of a Petition to Make Special filed concurrently herewith.

Applicant respectfully requests that the listed documents be considered by the Examiner and formally be made of record in the present application and that an initialed copy of Form-1449 be returned in accordance with MPEP §609.

Respectfully submitted,



Date

NOVEMBER 13, 2001

Ankur D. Shah
Registration No. 41,514

FOLEY & LARDNER
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5109
Telephone: (202) 672-5300
Facsimile: (202) 672-5399